



Attorney Docket No. YOR920030166US1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Patent Application**

Applicant(s): J.H. Connell et al.  
Docket No.: YOR920030166US1  
Serial No.: 10/601,350  
Filing Date: June 23, 2003  
Group: 2644  
Examiner: To Be Assigned

I hereby certify that this paper is being deposited on this date with the U.S. Postal Service as first class mail addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Signature: Luis L. Vulpis Date: September 25, 2003

Title: Audio-Only Backoff in Audio-Visual  
Speech Recognition System

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§1.56, 1.97 and 1.98, Applicants' attorney wishes to bring to the attention of the Patent and Trademark Office the following documents listed on the accompanying Form PTO-1449. A copy of each listed document is enclosed.

**U.S. Patent Documents**

1. U.S. Patent No. 6,594,629 issued on 07/15/03 to Basu et al.
2. U.S. Patent No. 6,219,640 issued on 04/17/01 to Basu et al.

**Other Documents**

1. G. Potamianos et al., "Hierarchical Discriminant Features for Audio-Visual LVCSR," Proceedings of ICASSP 2001, 4 pages.
2. C.R. Rao, "Linear Statistical Inference and Its Applications," John Wiley and Sons, New York, pp. 476-490, 1965.

3. J.R. Deller, Jr. et al., "Discrete-Time Processing of Speech Signals," Prentice Hall, pp. 677-699 and 745-759, 1987.

4. A. Gersho et al., "Vector Quantization and Signal Compression," Kluwer Academic Publishers, pp. 309-337 and 345-367, 1992.

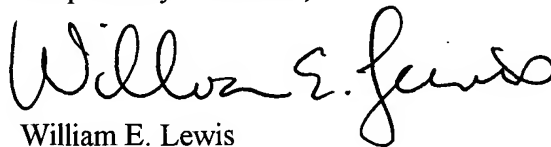
5. A. Papoulis, "Probability, Random Variables, and Stochastic Process," McGraw-Hill Publishing Company, pp. 30, 46-48 and 73-74, 1984.

6. H.L. van Trees, "Detection, Estimation, and Modulation Theory," Part I, John Wiley & Sons, pp. 23-46, 1968.

It is believed that there is no fee due in conjunction with the filing of this Information Disclosure Statement. In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or to credit **International Business Machines Corporation Deposit Account No. 50-0510** as required to correct the error.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made, or as an admission that the information cited is considered to be material to patentability, or as a representation that no other material information exists.

Respectfully submitted,



Date: September 25, 2003

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**FORM PTO-1449 (MODIFIED)****LIST OF PUBLICATIONS FOR  
APPLICANT'S INFORMATION  
DISCLOSURE STATEMENT**

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**U.S. PATENT DOCUMENTS**

EXAMINER					FILING DATE
INITIAL	DOCUMENT NO.	DATE	NAME	CLASS/SUBCLASS	IF APPROPRIATE
—	1. 6,594,629	07/15/03	Basu et al.		
—	2. 6,219,640	04/17/01	Basu et al.		

**FOREIGN PATENT DOCUMENTS**

EXAMINER					TRANSLATION
INITIAL	DOCUMENT NO.	DATE	COUNTRY	CLASS/SUBCLASS	YES . NO
—					

**OTHER DOCUMENTS**

EXAMINER				
INITIAL	REF NO.	AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.		
—	1.	G. Potamianos et al., "Hierarchical Discriminant Features for Audio-Visual LVCSR," Proceedings of ICASSP 2001, 4 pages.		
—	2.	C.R. Rao, "Linear Statistical Inference and Its Applications," John Wiley and Sons, New York, pp. 476-490, 1965.		
—	3.	J.R. Deller, Jr. et al., "Discrete-Time Processing of Speech Signals," Prentice Hall, pp. 677-699 and 745-759, 1987.		
—	4.	A. Gersho et al., "Vector Quantization and Signal Compression," Kluwer Academic Publishers, pp. 309-337 and 345-367, 1992.		
—	5.	A. Papoulis, "Probability, Random Variables, and Stochastic Process," McGraw-Hill Publishing Company, pp. 30, 46-48 and 73-74, 1984.		
—	6.	H.L. van Trees, "Detection, Estimation, and Modulation Theory," Part I, John Wiley & Sons, pp. 23-46, 1968.		

Examiner

Date Considered

**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.